

HANDOUT #7  
DOCUMENT OWNERSHIP

[BACK TO MAIN PAGE](#)

DRAFT FINAL  
6/22/2001  
Bonnie Capito

**PROMOTING EFFECTIVE DOCUMENT MANAGEMENT:  
DETERMINING OWNERSHIP OF DOCUMENTS**

**PURPOSE**

To define document "ownership" for the Contracts Division (Code AQ), the ROICC, and the Environmental Division (Code EV) and to determine what documents each Division should be documenting, filing and storing.

This document is designed to:

- encourage the elimination of duplicate file retention programs
- provide guidelines for employees who want to clean out or dismantle their files
- determine where people should be storing/sending their records
- increase awareness of requirements for compliance with the General Records Schedule

The Contracts Division (Code AQ), the ROICC (Construction Division Code CI5) and the Environmental Division (Code EV) have collaborated to formulate lists of documents retained by LANTDIV Contracts Division, the LANTDIV Environmental Division CLEAN COTR, RAC COTR and Project Managers and the ROICC offices. Storage location and retention schedules are also noted.

This document concerns closed Contract Task Orders (CTOs) which have the technical work completed. Active CTOs are not addressed except in an oblique way as most individuals will need to have current CTO files accessible.

**Electronic files and all of their software program(s)**, where data is added, manipulated and stored, which reside on a computer hard drive, should, for the time being, be retained indefinitely. The Office of the DON/CIO has been tasked by the National Archives and Records Administration (NARA) to formulate retention and disposal guidelines for electronic files and their software programs.

**CONTRIBUTORS**

Patty Kellihan –	Contracts (Code AQ)
Lee Anne Rapp –	Environmental (CLEAN COTR Code EV)
Karen Wilson -	Environmental (RAC COTR Code EV)
Greg Hedley -	Construction (Code CI5)
Kate Landman -	IPT Team (former Environmental Project Manager Code EV)
Bonnie Capito	Environmental (Librarian Code EV)

## **CONTRACTS (CODE AQ) FILES**

### **FOR ALL CLOSED CONTRACT TASK ORDERS (CTO)**

#### **DOCUMENT OWNERSHIP**

The Contracts Division is the document owner for documents listed under the following section heading:

#### **FILES RETAINED FOR CLOSED CONTRACT TASK ORDERS (CTO)**

- **Solicitation Information:**
  - copies of the original solicitation
  - copies of the proposals
  - copies of the source selection plan
  - price board report
  - technical board report, etc.
- **CTO Information**
  - Contract(s)
  - Contract Modifications
  - Scopes of Work
  - Modifications to Scopes of Work
  - Invoices
  - RFP letters
  - Contractor proposals
  - government estimates
- **Award fee information:**
  - copies of evaluations
  - technical board reports
  - performance board reports
  - letter to the contractor
  - award fee plan
  - evaluation criteria etc.
- Pre-Awards
- Post-Awards
- Awards
- Modifications
- CLEAN contractor monthly progress reports (also available on the internet)
- A&E correspondence file
- Letters to/from contracts/contractors
- Technical letters to/from contractors (also received by PMs)
- CTO closeout paperwork
- predetermined annual labor rates
- predetermined annual equipment daily equipment rates (archive upon expiration/completion of the contract)

HANDOUT #7  
DOCUMENT OWNERSHIP

## **CONTRACTS DOCUMENT FILING AND STORAGE INFORMATION**

### **ACTIVE**

Retained in the Contracts office space area

### **INACTIVE**

Contracts basement storage area located in Building A

Records are considered inactive and ready for storage by Contracts when

#### **INTERIM CLOSE OUT**

- 100% physically complete and processed for interim closeout
- the INTERIM close out is done and all the technical work is completed
  - interim closeout paper work signed
  - last 100% award fee document processed
  - last payment certified unless OH adjustment will result in additional invoicing

#### **FINAL CLOSE OUT**

- when the overhead is adjusted
- Interim and Final Close out CTO files are stored both in Contracts office space area and the Contracts LRA Building A basement storage area

### **National Archives and Records Administration (NARA) guidelines for retention:**

- Files will be retained for a period of 6 years and 3 months after final payment of the completed contract (FAR 4.805). If it is impossible to determine the final payment date in order to measure the six-year period, files may be retained for nine years in accordance with DFARS 204.805, Disposal of Contract Files.
- Contract files are disposed of in accordance with General Record Schedule 3 (Procurement, Supply, and Grant Records); FAR 4.804, Closeout of Contract Files; FAR 4.805, Storage, Handling and Disposal of Contract Files; and DFARS 204.805, Disposal of Contract Files.
- Paper contract files are stored in the basement of LRC, Building A

### **DISPOSITION OF REMEDIAL PROJECT MANAGER FILES WHICH DULPLICATE THOSE RETAINED BY CONTRACTS**

after all paperwork is signed, Environmental Division Project Managers should dispose\* of in an appropriate manner any remaining DUPLICATE (those retained by Contracts, the CLEAN COTR, the RAC COTR and the ROICC) files for that project as they are considered to be “working files” rather than files.

- recycle paper documents which do not contain dollar figures
- recycle paper documents which do contain dollar figures by turning them over to a central

HANDOUT #7  
DOCUMENT OWNERSHIP

- collection point for shredding (cost estimates prepared either by the government or a contractor, cost proposals submitted by contractors (draft vs. final)
- recycle electronic files on CD ROM, disk or external drive by overwriting
- recycle electronic files on CD ROM, disk or external drive by turning them over to a U.S. Navy central recycling collection point

**ENVIRONMENTAL DIVISION CLEAN COTR FILES RETAINED BY THE COTR  
FOR ALL CLOSED CONTRACT TASK ORDERS (CTOs)**

**DOCUMENT OWNERSHIP**

Environmental Program Management Section, Code EV31, CLEAN COTR is the document owner for documents listed under the following section heading:

**FILES RETAINED FOR ALL CONTRACT TASK ORDER (CTO)\***

- Contract modifications
- A&E correspondence
- General correspondence
- Close out paperwork
- Monthly CLEAN progress reports (available on the Internet)
- other documents as necessary

\*Work plans, health & safety plan, QA/QC plans go into the ARF

**DOCUMENT FILING and STORAGE INFORMATION**

**ACTIVE**

Environmental Program Management Section, Code EV31, office space

**INACTIVE**

Records are considered inactive and ready for storage by the CLEAN COTR when

FINAL CLOSE OUT Procedures are complete

- all financial transactions on the delivery order are complete
- after all work is complete
- the last payment certified (contractor is not going to spend any more money)
- RPM signs off on the interim closeout paperwork

Records storage area in the basement in Building A

COTR files will be retained on-site indefinitely (not sent to the Federal Records Center)

files and boxes are marked with the CTO number

**Project Management (RPM and EIC) Files Which Duplicate Those Retained By  
Environmental Program Management CLEAN COTR**

**DISPOSITION:**

HANDOUT #7  
DOCUMENT OWNERSHIP

- Once a Project Manager signs off on the interim close out paperwork
  - Files should be reviewed
  - documents which DUPLICATE files which are “owned” by the CLEAN or RAC COTR, Contract Files and Administrative Record Files should be discarded\*
    - duplicate files are considered to be “working files” rather than permanent files
    - exception: any “special circumstances” paperwork
    - special circumstances paperwork would be provided to the CLEAN COTR by the RPM at closeout

\* Footnote

- recycle paper documents which do not contain dollar figures
- recycle paper documents which do contain dollar figures by turned them over to a central collection point for shredding
- recycle electronic files on CD ROM, disk or external drive by overwriting
- recycle electronic files on CD ROM, disk or external drive by turning them over to a U.S. Navy central recycling collection point

HANDOUT #7  
DOCUMENT OWNERSHIP

**ENVIRONMENTAL DIVISION RAC COTR FILES RETAINED BY THE COTR**

**FOR ALL CLOSED CONTRACT TASK ORDERS (CTO)**

**Document Ownership**

Environmental Program Management Section, Code EV31, RAC COTR is the document owner for documents listed under the following section heading:

**FILES RETAINED FOR ALL RAC COTR CONTRACT TASK ORDER (CTO)**

- Contractor monthly progress reports (currently being converted to CD ROM)
- General correspondence
  - Implementation Plan
  - Program QC Plan
  - Corporate Health and Safety plan
  - new work directives
- Award documents
- Program analyst
  - Funding documents
  - Award documents

**Document Filing/Storage Information and Location**

**ACTIVE FILES**

Environmental Program Management Section, Code EV31, office space

**INACTIVE FILES**

Files are considered as inactive when:

1. all work is complete and the last payment certified (contractor is not going to spend any more money)
2. all financial transaction on the delivery order are complete and the order is closed out
3. files and boxes are marked with the CTO number
4. files and boxes are stored in the Environmental Program Management office space area

COTR files will be retained on-site indefinitely (not sent to the Federal Records Center)

Files and boxes are marked with the CTO number

Records storage area for the boxes is in the Building A basement

**Project Management Files (RPM or EIC) Which Duplicate Those Retained By RAC COTR**

**DISPOSITION:**

- Once a Project Manager signs off on the interim close out paperwork
  - Files should be reviewed
  - documents which DUPLICATE files which are “owned” by the CLEAN or RAC COTR, Contract Files and Administrative Record Files should be discarded\*

HANDOUT #7  
DOCUMENT OWNERSHIP

- duplicate files are considered to be “working files” rather than permanent files
- exception: any “special circumstances” paperwork
- special circumstances paperwork would be provided to the COTR by the RPM at closeout

\*Footnote

- recycle paper documents which do not contain dollar figures
- recycle paper documents which do contain dollar figures by turned them over to a central collection point for shredding
- recycle electronic files on CD ROM, disk or external drive by overwriting
- recycle electronic files on CD ROM, disk or external drive by turning them over to a U.S. Navy central recycling collection point

HANDOUT #7  
DOCUMENT OWNERSHIP

## **ROICC FILES**

### **FOR ALL CLOSED CONTRACT TASK ORDERS (CTO)**

#### **ROICC OFFICE INFORMATION**

**ROICC Office Contract Files:** Contracts (Code AQ) delegates contract administration authority to the ROICC offices after they execute the initial award. They will perform delegated administrative functions.

#### **FILES RETAINED FOR ALL CONTRACT TASK ORDERS (CTO) BY THE ROICC**

- contract CTO file
- certified payrolls
- contract modifications and price negotiation memorandums,
- Contractor Production/Contractor Quality Control Reports (DRIs),
- all correspondence (letters, memos, pre-construction meeting minutes, final acceptance and inspection letter, turn over letter to the activity, system startup, documentation regarding resolution of invoice comments, OT authorization, government furnished property/material/equipment documentation, etc.)
- construction submittals
- shop drawings
- warranty, and RAC field forms
  
- The ROICC may discard the following:
  - invoices
  - CLEAN monthly progress reports (Monthly Progress Reports are available electronically (web based), these can be discarded immediately)
  - work plans
  - A&E/CLEAN design documents
  - work plans and design documents are working files that should be available as long as the project remains active. If project closeout is initiated promptly upon work completion, then these items can be discarded at that time.

#### **ROICC FILING/STORAGE INFORMATION**

- Upon 100% completion of individual Task Orders *AND A LETTER FROM THE CONTRACTS OFFICE*, the ROICC is required to send their complete contract (CTO) file to Contracts (Code AQ) for closeout
  
- ROICC offices procedures (8/4/99) for contract file turnover states that the ROICC offices are to provide contract files to Code AQ upon notification that interim closeout is commencing (Specific notification/direction per task order from the Contract Administrator)
  
- Paperless/Electronic MPRs: Until we go completely electronic/paperless, the Contracts Department should retain a CD copy per month for 6 years and 3 months



HANDOUT #7  
DOCUMENT OWNERSHIP

- See Contracts Filing/Storage Information for location and disposition information

**Project Management Files (RPM & EIC) Which Duplicate Those Retained By ROICC**

**DISPOSITION:**

- Once a Project Manager signs off on the interim close out paperwork
  - Files should be reviewed
  - documents which DUPLICATE files which are “owned” by the CLEAN or RAC COTR, Contract Files and Administrative Record Files should be discarded\*
    - duplicate files are considered to be “working files” rather than permanent files
    - exception: any “special circumstances” paperwork
    - special circumstances paperwork would be provided to the CLEAN COTR by the RPM at closeout

**\*Footnote**

- recycle paper documents which do not contain dollar figures
- recycle paper documents which do contain dollar figures by turned them over to a central collection point for shredding
- recycle electronic files on CD ROM, disk or external drive by overwriting
- recycle electronic files on CD ROM, disk or external drive by turning them over to a U.S. Navy central recycling collection point

HANDOUT #7  
DOCUMENT OWNERSHIP

**ENVIRONMENTAL RESTORATION REMEDIAL PROJECT MANAGEMENT FILES**

Installation Restoration Remedial Project Management files are generally preserved in

- Administrative Record File (by military installation)
  - Deliverables/plans/reports
  - Letters
  - Minutes
  - Other documentation
- Contract files
- Environmental Program Management Section, Code EV31, CLEAN COTR files
- Environmental Program Management Section, Code EV31, RAC COTR files
- ROICC files (see guidance for the ROICC)

When a CTO is closed out, the project manager may have documents and files (“special circumstances paperwork”) which do not fall into any category. The paperwork/information may be given to the Environmental Program Management Section, Code EV31, CLEAN or RAC COTR who will retain the material in the COTR files.

[BACK TO MAIN PAGE](#)